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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<p align="center"><b>TRANSMITTAL FORM</b></p> <p align="center"><i>(to be used for all correspondence after initial filing)</i></p>		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	HU, LAWRENCE W.
		Group Art Unit	3732
		Examiner Name	SMITH, JEFFREY A.
Total Number of Pages in This Submission	23	Attorney Docket Number	GUID-012CON
<p align="center"><b>ENCLOSURES</b> (check all that apply)</p>			
<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	
		<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for entry of Amendment filed May 14, 2003 (1 pg) Copy of Amendment and PTO forms 1449 filed May 14, 2003 (21 pgs.) postcard	
<p>Remarks</p>			
<p align="center"><b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b></p>			
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977		
Signature			
Date	September 15, 2003		

<b>CERTIFICATE OF MAILING</b>	
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Typed or printed name	Alan W. Cannon
Signature	
Date	September 15, 2003

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**FACSIMILE TRANSMITTAL  
LAW OFFICE OF ALAN W. CANNON**

834 South Wolfe Road  
Sunnyvale, California 94086  
Telephone (408) 736-3554  
Facsimile (408) 736-3564  
Email: [alan@acannonlaw.com](mailto:alan@acannonlaw.com)

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Date: September 25, 2003  
To: US Patent and Trademark Office  
ATTENTION: EXAMINER JEFFREY SMITH  
GAU 3732  
Facsimile No.: 703-872-9306  
From: Alan Cannon  
Re: Application Serial No. 09/900,503, Conf. # 5237  
Attorney's Docket No. GUID-012CON

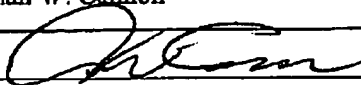
Message: Examiner Smith,  
Thank you for your voice mail of this morning. We are transmitting herewith a Request for Consideration that we filed September 15, 2003, and which includes the amendment as filed May 14, 2003, IDS, and proof of receipt by the US Patent and Trademark Office. Please call to confirm that you have received this transmission.

Thanks,  
Alan Cannon

Total number of pages, including this cover sheet: 25

\*\*\*\*\*

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Typed or Printed Name	Alan W. Cannon		
Signature		Date	9/15/03


<b>REQUEST FOR ENTRY AND CONSIDERATION OF AMENDMENT FILED MAY 14, 2003</b>	Application No.	09/900,503
	Confirmation No.	5237
	Filing Date	July 6, 2001
	First Named Inventor	Hu, Lawrence W.
	Examiner.	Smith, Jeffrey A.
	Group Art Unit	3732
	Attorney Docket No.	GUID-012CON

Sir:

Applicants hereby request that the Amendment filed under 37 CFR 1.116 on May 14, 2003 be entered and considered. Applicants' representative telephoned the Examiner, the Examiner's SPE and the group receptionist to request the status of this case. The Examiner's SPE indicated that the Amendment filed May 14, 2003 has not yet been entered. Applicants are submitting a copy of the amendment as filed on May 14, 2003, including a copy of the postcard date-stamped by the U.S. Patent and Trademark Office, as proof of the filing of the amendment.

Applicants respectfully submit that no fees are due at this time, since the Amendment under 37 CFR 1.116 was timely filed within 2 months of the date of the final Office Action. However, the Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time and Notice of Appeal to avoid abandonment of the present case, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Date: September 15, 2003

Respectfully submitted,  
LAW OFFICE OF ALAN W. CANNON  
By:   
Alan W. Cannon  
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON  
834 South Wolfe Road  
Sunnyvale, CA 94086  
Telephone: (408) 736-3554  
Facsimile: (408) 736-3564

COPY

COPY

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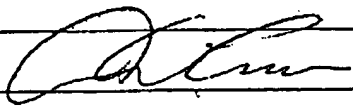



PTO/SB/21 (08-00)

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	HU, LAWRENCE W.
		Group Art Unit	3732
		Examiner Name	SMITH, JEFFREY A.
Total Number of Pages in This Submission	20	Attorney Docket Number	GUID-012CON
ENCLOSURES (check all that apply)			
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input checked="" type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO form 1449 (10 pgs.) postcard	Remarks
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977		
Signature			
Date	May 14, 2003		

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: May 14, 2003.	
Typed or printed name	Maria J. Sousa
Signature	
Date	May 14, 2003

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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$120.00)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
- Deposit Account Number 50-0815  
Deposit Account Name Bozicevic, Field & Francis LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.18 and 1.17
- ☐ Applicant Claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

## 2. BASIC FILING FEE

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201	Utility filing fee	
106	330	206	Design filing fee	
107	510	207	Plant filing fee	
108	740	208	Reissue filing fee	
114	160	214	Provisional filing fee	

SUBTOTAL (1) 0.00

## 1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
27-26** = 1	x	16.00	= 16.00
Indep. Claims 7-6** = 1	x	64.00	= 64.00
Multiple Dependent			

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203	Claims in excess of 20
102	64	202	Independent claims in excess of 3
104	260	204	Multiple dependent claim, if not paid
109	64	209	** Reissue independent claims over original patent
110	18	210	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 120.00

\*\*or number previously paid, if greater; For Reissues, see above.

## Complete If Known

Application Number 09/800,503  
Filing Date July 6, 2001  
First Named Inventor HU, LAWRENCE W.  
Examiner Name SMITH, JEFFREY A.  
Group Art Unit 3625  
Attorney Docket No. GUID-012CON

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205	Surcharge - late filing fee or oath	
127	50	227	Surcharge - late provisional filing fee or cover sheet	
139	130	139	Non-English specification	
147	2,520	147	For filing a request for ex parte reexamination	
112	920*	112	Requesting publication of SIR prior to Examination action	
113	1,840*	113	Requesting publication of SIR after Examiner action	
115	110	215	Extension for reply within first month	
116	400	216	Extension for reply within second month	
117	920	217	Extension for reply within third month	
118	1,440	218	Extension for reply within fourth month	
128	1,960	228	Extension for reply within fifth month	
119	320	219	Notice of Appeal	
120	320	220	Filing a brief in support of an appeal	
121	280	221	Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	Petition to revive - unavoidable	
141	1,280	241	Petition to revive - unintentional	
142	1,280	242	Utility issue fee (or reissue)	
143	460	243	Design issue fee	
144	620	244	Plant issue fee	
122	130	122	Petitions to the Commissioner	
123	60	123	Processing fee under 37 CFR 1.17(q)	
126	180	126	Submission of Information Disclosure Sheet	
581	40	581	Recording each patent assignment per property (limit number of properties)	
146	740	246	For each additional invention to be examined (37 CFR § 1.129(a))	
148	740	248	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	Request for Continued Examination (RCE)	
189	900	189	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

## SUBMITTED BY

Name (Print/Type) Alan W. Cannon

Registration No. (Attorney/Agent)

34,877

Telephone

(408) 736-3564

Signature

Date

05/14/2003

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PTO/SB/17 (10-01)

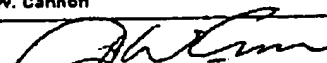
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL  
for FY 2003**

Patent fees are subject to annual revision.

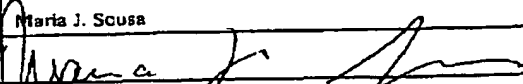
<b>TOTAL AMOUNT OF PAYMENT</b>		(\$ 120.00)		<b>Complete if Known</b>	
<b>METHOD OF PAYMENT</b>		Application Number 09/800,503			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 50-3815 Deposit Account Name Bozicevic, Field & Francis LLP		Filing Date July 6, 2001			
2. <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.18 and 1.17		First Named Inventor HU, LAWRENCE W.			
<input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27		Examiner Name SMITH, JEFFREY A.			
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		Group Art Unit 3625			
<b>FEE CALCULATION</b>		Attorney Docket No. GUID-012CON			
2. <b>BASIC FILING FEE</b>		<b>FEE CALCULATION (continued)</b>			
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid	3. <b>ADDITIONAL FEES</b>	
101 740	201 370	Utility filing fee		Large Entity Fee Code	Small Entity Fee Code
106 330	206 185	Design filing fee		105 130	205 65
107 510	207 255	Plant filing fee		127 50	227 25
108 740	208 370	Reissue filing fee		139 130	139 130
114 160	214 80	Provisional filing fee		147 2,620	147 2,620
<b>SUBTOTAL (1)</b>			0.00	112 920*	112 920*
1. <b>EXTRA CLAIM FEES</b>				113 1,840*	113 1,840*
Total Claims 27 - 25** = 2 x	Extra Claims below 18.00	Fee Paid = 36.00		115 110	215 55
Indep. Claims 7-6** = 1 x	84.00	= 84.00		116 400	216 200
Multiple Dependent				117 920	217 480
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid	118 1,440	218 720
103 18	203 9	Claims in excess of 20		128 1,980	228 980
102 84	202 42	Independent claims in excess of 3		119 320	219 160
104 280	204 140	Multiple dependent claim, if not paid		120 320	220 160
109 84	209 42	** Reissue independent claims over original patent		121 260	221 140
110 16	210 9	** Reissue claims in excess of 20 and over original patent		138 1,510	138 1,510
<b>SUBTOTAL (2) \$ 120.00</b>				140 110	240 55
**or number previously paid, if greater. For Reissues, see above.				141 1,280	241 640
				142 1,280	242 640
				143 460	243 230
				144 620	244 310
				122 130	122 130
				123 50	123 50
				126 180	126 180
				581 40	581 40
				146 740	246 370
				149 740	249 370
				179 740	279 370
				189 900	189 900
				Other fee (specify) _____	
				<b>SUBTOTAL (3) (\$ 0.00)</b>	

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Alan W. Cannon	Registration No. (Attorney/Agent)	34,977
Signature		Telephone	(408) 736-3564
		Date	05/14/2003

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A large, bold, black stamp with the word "COPY" in a sans-serif font, preceded by a small icon of a document with a folded corner.

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or Printed Name	Maria J. Scusa		
Signature		Date	May 14, 2003

<b>AMENDMENT UNDER</b> 37 C.F.R. §1.116  Address to: Box AF Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket Confirmation No.	GUID012CON 5237
	First Named Inventor	Lawrence W. Hu, <i>et al.</i>
	Application Number	09/900,503
	Filing Date	July 6, 2001
	Group Art Unit	3732
	Examiner Name	Smith, Jeffrey A.
	Title	SURGICAL RETRACTOR PLATFORM BLADE APPARATUS

Sir:

This amendment is responsive to the Final Office Action dated March 14, 2003 for which a three-month period for response was given making this response due on or before June 14, 2003. In view of the amendments to the claims and the remarks put forth below, reconsideration and allowance are respectfully requested. Applicants have attached to this amendment a "Version with Markings to Show Changes Made" wherein all of the amendments requested here are put forth with underlining and bracketing.

Applicants submit that the amendments set forth below raise no new issues. Rather, the amendments place the claims in form for allowance or in better form for appeal. Entry of these amendments is thus respectfully requested.

### AMENDMENTS

#### IN THE CLAIMS

Please amend claim 8 as follows:

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body.

Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

Please amend claim 11 as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall.

Please enter the following new claims:

26 (New) A surgical retractor blade for attaching to a drive mechanism, said retractor blade comprising a body having a first end, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall, wherein said suture locking member is substantially rigid and pivots about said fixed end.

27. (New) The surgical retractor of claim 26, further comprising a spring member biased against said suture locking member to forcibly urge said free end towards said internal wall.



Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

**REMARKS UNDER 37 CFR § 1.116**

**Formal Matters**

Claims 1-6, 8-15 and 17-27 are pending after entry of the amendments set forth herein.

Claims 1-6, 8-15 and 17-25 were examined. Claims 8-11 and 21-23 were rejected. Claims 1-6, 14-20, 24 and 25 were allowed. Claims 12 and 13 were objected to.

Please replace claims 8 and 11 with the clean version provided above, and enter new claims 26 and 27 as provided above.

Attached hereto is a marked-up version of the changes made to the claims by the current amendment. The attached is captioned "**VERSION WITH MARKINGS TO SHOW CHANGES MADE.**"

Applicants respectfully request reconsideration of the application in view of the amendments and remarks made herein.

No new matter has been added.

**The Office Action**

Initially, Applicants wish to extend their appreciation to the Examiner for the indicated allowance of claims 1-6, 14-20, 24 and 25, as well as the indicated allowable subject matter in claims 12 and 13.

Claims 8-11 were rejected under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2). The Examiner indicated that the recitations "wherein said first end is adapted for attaching to a separated, complete drive mechanism" did not patentably distinguish the claims from the structure disclosed by Hancock because the "wherein" clause was not considered to further distinguish the structure recited.

In response thereto, Applicants have amended each of claims 8 and 11 to delete the discussed "wherein" clause. In its place, in each instance, the claims have been amended to further define recited first end as "adapted to attach to a separate, complete driving mechanism". It is respectfully submitted that this language structurally distinguishes the present invention as recited by claims 8 and 11 (and claims depending therefrom) over Hancock, since Hancock's blades are always attached to the driver. Further, it is respectfully submitted that it has been held that In a claim that was directed to a kit of component parts capable of being assembled, the Court held that limitations such as "members adapted

Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

to be positioned" and "portions . . . being resiliently dilatable whereby said housing may be slidably positioned" serve to precisely define present structural attributes of interrelated component parts of the claimed assembly. *In re Venezia*, 530 F.2d 956, 189 USPQ 149 (CCPA 1976). (see MPEP Section 2173.05(g)).

In view of the above amendment of claims 8 and 11, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 8-11 under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2), as being no longer appropriate. It is respectfully submitted that these amendments do not raise a new issue, since they address the same previously addressed issue of structurally limiting the presently claimed invention to blades that may be attached to a separate, complete drive mechanism.

Claims 21-23 were rejected under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395). It is respectfully submitted that these claims are allowable over the recited combination of references for at least the same reasons that claims 8 and 11 patentably define over Hancock, as discussed above, since Brief does nothing to overcome the deficiencies of Hancock in meeting the recitations of claims 8 and 11, and since each of claims 21-23 depends from one of claims 8 and 11.

Accordingly, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 21-23 under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395), as being no longer appropriate.

With regard to newly submitted claims 26 and 27, it is respectfully submitted that these claims are clearly allowable in view of the Examiner's indication, in the Office Action dated June 19, 2002, that claims 12 and 13 would be allowable if rewritten in independent form to include all of the limitations of the base claim and any intervening claims. New claims 26 and 27 correspond to claims 12 and 13 in such form.

#### PTO Forms 1449

Upon review of the file for this application, Applicants have discovered that not all of the documents that were submitted in the parent application (Application Serial No. 09/305,811, now U.S. Patent No. 6,283,912) have been submitted in the instant application. Accordingly, Applicants are submitting herewith PTO Forms 1449 listing the remainder of the documents which have not been submitted, but which were considered and cited during the prosecution of the parent application. Copies of the documents are not included, as having been already previously submitted in the parent

Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

application. Applicants would appreciate the Examiner initialing and returning an initialed copy of the enclosed PTO Forms 1449 to indicate consideration of the same.

**Conclusion**

Applicants submit that all of the claims are in condition for allowance, which action is requested. If the Examiner finds that a telephone conference would expedite the prosecution of this application, please telephone the undersigned at the number provided.

Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

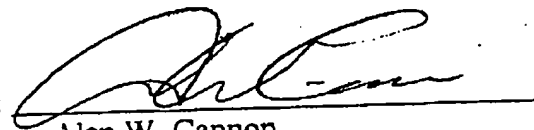
The Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Respectfully submitted,  
LAW OFFICE OF ALAN W. CANNON

Date:

May 14, 2003

By:



Alan W. Cannon  
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON  
834 South Wolfe Road  
Sunnyvale, CA 94086  
Telephone: (408) 736-3554  
Facsimile: (408) 736-3564

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Atty Dkt. No.: GUID-012CON  
USSN: 09/900,503

**VERSION WITH MARKINGS TO SHOW CHANGES MADE**

**IN THE CLAIMS**

Claim 8 was amended above as follows:

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

Claim 11 was amended above as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free [ended] end and said internal wall[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

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Substitute for form 1449A/PTO		<b>Complete If Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	1	of	10

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Documents		Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	452,131		May, 1891	Haughwout	
	A2	810,675		Jan., 1906	Richter	
	A3	2,296,793		Sep., 1942	Kirschbaum	
	A4	2,590,527		Mar., 1952	Fluck	
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Examiner Signature					Date Considered	

<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>2</sup>Unique citation designation number. <sup>3</sup>Applicant is to place a check mark here if English language Translation is attached.

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		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
Sheet 2 of 10	Attorney Docket Number	GUID-012CON	

A28	4,726,358	Feb., 1988	Santilli et al.
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		Application Number	09/900,503
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
(use as many sheets as necessary)		Attorney Docket Number	GUID-012CON
Sheet	3	of	10

A60	5,231,974	Aug., 1993	Giglio et al.
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		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	4	of	10

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	5	of	10

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Documents			Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents
		Office <sup>3</sup>	Number <sup>4</sup> Code <sup>5</sup>	Kind (if known)		
	B1		WO 87/04081		Jul., 1987	WO.
	B2		0 293 760 A1		Dec., 1988	DE
	B3		0 293 760 A2		Dec., 1988	DE
	B4		0 293 760 A3		Dec., 1988	DE
	B5		90 04513		June, 1990	DE
	B6		2 233 561		Jan., 1991	GB
	B7		0 630 829 A1		May, 1994	EP
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	B19		WO 00/06041		Feb., 2000	WO.
	B20		0 993 806 A2		April, 2000	EP

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		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
Sheet 6 of 10	Attorney Docket Number	GUID-012CON	

B21	WO 00/42921	Jul., 2000	WO.		
B22	WO 00/42935	Jul., 2000	WO.		
B23	WO 00/42936	Jul., 2000	WO.		
B24	WO 00/42937	Jul., 2000	WO.		

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS); title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.); date, page(s), volume-issue number(s), publisher, city and/or country where published.	
	C1	Ancalmo, N. and J. L. Ochsner: "A Modified Sternal Retractor," Ann. Thorac. Surg. 21 (1976) 174.	
	C2	Angelini, G.D., M.D. et al., "A Fiber-Optic Retractor for Harvesting the Internal Mammary Artery," Ann. Thorac. Surg. (1990;50:314-5).	
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	C4	Beg, R.A. H. Naraghipour, E.B. Kay, and P. Rullo, "Internal Mammary Retractor," Ann Thorac. Surg. 39 (1985) 286-287).	
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		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	7	of	10

C12	Benetti, F. J., et al., "Direct Coronary Surgery with Saphenous Vein Bypass Without Either Cardiopulmonary Bypass Graft or Cardiac Arrest," The Journal of Cardiovascular Surgery, vol. 26, No. 3, May-Jun, 1985, pp. 217-222.
C13	Bennetti, F. J., et al., "Direct Myocardial Revascularization Without Extracorporeal Circulation," Chest, vol. 100, No. 2, Aug. 1991, pp. 312-316.
C14	Bonatti, J. et al., "Single Coronary Artery Bypass Grafting -- A Comparison Between Minimally Invasive 'Off Pump' Techniques and Conventional Procedures," European Journal of Cardiac-Thoracic Surgery, 14 (Supp.1) (1998) S7-S12.
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C18	Buffolo, E. et al., "Direct Myocardial Revascularization Without Cardiopulmonary Bypass," Thorac. Cardiovasc. Surgeon, 33 (1985) pp. 26-29.
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C21	Cartier, R. MD., "Triple Coronary Artery Revascularization on the Stabilized Beating Heart: Initial Experience," Montreal Heart Institute, CJS, vol. 41, No. 4, pp. 283-288, Aug. 1998.
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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
		Application Number	09/900,603
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
(use as many sheets as necessary)		Attorney Docket Number	GUID-012CON
Sheet	8	of	10

C29	Fonger, J. D. et al., "Enhanced Preservation of Acutely Ischemic Myocardium with Transseptal Left Ventricular Assist," The Annals of Thoracic Surgery, vol. 57, No. 3, Mar. 1994, pp. 570-575.
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Substitute for form 1449A/PTO		<b>Complete If Known</b>	
		Application Number	09/900,503
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
(use as many sheets as necessary)		Attorney Docket Number	GUID-012CON
Sheet	9	of	10

C47	Ochsner, J.L. et al., "Surgical Management of Diseased Intracavitary Coronary Arteries," The Annals of Thoracic Surgery, vol. 38, No. 4, Jul. pp. 356-62, Oct. 1984.
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C49	Perrault, L. et al., "Snaring of the Target Vessel in Less Invasive Bypass Operations Does Not Cause Endothelial Dysfunction," The Society of Thoracic Surgeons, pp. 751-755, 1997.
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C51	Richenbacher, W. E., MD, et al., "Current Status of Cardiac Surgery: A 40-Year Review," Journal of American College of Cardiology, vol. 14, No. 3, pp. 535-544.
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C54	Rousou, J. et al., "Cardiac Retractor for Coronary Bypass Operations," The Society of Thoracic Surgeons, pp. 52:877-78, 1991.
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C57	Scholz, K. H., et al., "Transfemoral Placement of the Left Ventricular Assist Device 'Hemopump' During Mechanical Resuscitation," Thoracic and Cardiovascular Surgeon, vol. 38 (1990) pp. 69-72.
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		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	10	of	10

C65	Zumbro, G. L. et al., "A Prospective Evaluation of the Pulsatile Assist Device," The Annals of Thoracic Surgery, vol. 28, No. 2, Aug. 1979, pp. 269-273.	
C66	60/117,333 Looney et al. (provisional) filed in Jan. 24, 1999.	
C67	09/345,859 Looney et al. filed on Jul. 1, 1999.	
C68	09/438,670 Parsons, et al. filed on Nov. 12, 1999.	
C69	09/489,274 Brown et al. filed on Jan. 21, 2000.	

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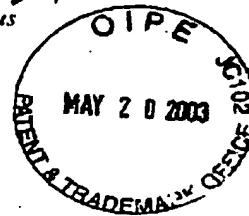
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 File No. GLTD-012CON  
 Application No.: 09/900,503  
 Inventor(s): Lawrence W. Hu, et al.  
 Title: *Surgical Retractor Platform Blade Apparatus*

Date Mailed: May 14, 2003  
 Date Filed: *Even Date Here with*  
*July 6, 2003*

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File No. GUID-012CON  
Application No.: 09/900,503  
Inventor(s): Lawrence W. Hu, et al.  
Title: *Surgical Retractor Platform Blade Apparatus*

Date Mailed: September 15, 2003  
Date Filed: 7/6/2001

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